

O'BANION & RITCHEY LLP
INTELLECTUAL PROPERTY ATTORNEYS

Wells Fargo Center
400 Capitol Mall, Suite 1550
Sacramento, California 95814
Tel. (916) 498-1010
Fax (916) 498-1074

FAX RECEIVED

NOV 20 2001

GROUP 1600

November 19, 2001

TELECOPIER TRANSMITTAL SHEET**TELECOPY TO:** Technology Center 1600**FAX NUMBER:** 703-872-9306**FROM:** Jerry King for John P. O'Banion**RE:** 09/927,428**MESSAGE:** In view of recent news release, please find enclosed a copy of :

- 1) Return card;
- 2) Submission of missing parts of application (Page 1 thru 3);
- 3) Notice to file missing parts of application (Page 1);
- 4) Combined Declaration and power of attorney (Page 1 thru 5);
- 5) Power of Attorney by assignee (Page 1);
- 6) Assignee Certification (Page 1);
- 7) PTO-1449 (Page 1);
- 8) Check in the amount of 975.00;
- 9) Transmittal of Substitute formal drawings (Page 1);
- 10) Substitute formal drawings (Page 1);
- 11) Assignment Cover Letter and Assignment (Page 1 thru 5) and;
- 12) Check in the amount of 40.00.

☒ [X] Original was mailed via first class mail on November 14, 2001.☐ [] Original will follow by:

The information contained in this facsimile is highly confidential and may also be subject to attorney-client privilege. The information is intended only for the use of the individual or entity to whom it is addressed. If you are not the intended recipient, or the employee or agent responsible to deliver it to the intended recipient, you are hereby notified that any use, distribution or copying of this communication is strictly prohibited. If you have received this in error, please notify us immediately by calling collect, and destroy this copy. Thank you.

NUMBER OF PAGES SENT (INCLUDING COVER SHEET): 31

IF THERE ARE ANY PROBLEMS OR QUESTIONS, PLEASE CONTACT US AT (916) 498-1010. OUR FAX NO. IS (916) 498-1074.

DOCUMENT16

The United States Patent and Trademark Office mail room stamp hereon acknowledges receipt of the following items:

For: **METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES**
In the names of WENBING YUN; JOHN SPENCE; HOWARD A. PADMORE; ALASTAIR A. MacDOWELL; MALCOLM R. HOWELLS
Serial No. 09/927,428

1. Submission of Missing Parts of Application (Page 1 thru 3);
2. Notice to File Missing Parts of Application Filing Date Granted (Page 1);
3. Combined Declaration and Power of Attorney (Page 1 thru 5);
4. Power of Attorney by Assignee and Exclusion of Inventors Under 37 C.F.R. 3.71 (Page 1);
5. Assignee Certification Under 37 C.F.R. 3.72(b) (Page 1);
6. PTO Form 1448 (Page 1);
7. Citations (3);
8. Check in the amount of \$975 (\$910 filing fees and \$65 surcharge for the fees due as a small entity);
9. Transmittal of Substitute Formal Drawings (Page 1);
10. Substitute Formal Drawings (1 Sheet);
11. Assignment (Document) Cover Letter (Page 1 thru 3);
12. Assignment (Page 1 & 2) and;
13. Check in the amount of \$40 assignment recording fee.

Date Mailed: November 14, 2001
Attorney: John P. O'Banion
Docket No.: LBL-IB-1498-1

THE UNITED STATES PATENT AND TRADEMARK OFFICE



John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

PATENT

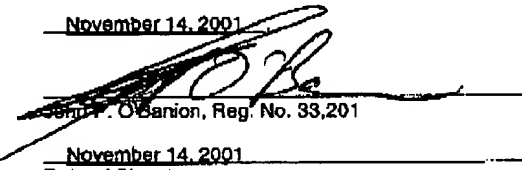
Docket No.: LBL-IB-1498

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: WENBING YUN; JOHN SPENCE; HOWARD A. PADMORE; ALASTAIR A. MacDOWELL; MALCOLM R. HOWELLS
Serial No.: 09/927,428
Filed: AUGUST 9, 2001
For: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES
Group:
Examiner:

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 14, 2001

Scott P. O'Banion, Reg. No. 33,201November 14, 2001
Date of Signature

BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

**SUBMISSION OF MISSING PARTS OF APPLICATION
UNDER 37 C.F.R. § 1.53**

Dear Sir:

In response to the Notice to File Missing Parts of Application (PTO-1533) mailed September 17, 2001, a copy of which is enclosed, please find the following documents which are incorporated by reference herein:

1. Combined Declaration and Power of Attorney;
2. Power of Attorney by Assignee and Exclusion of Inventor(s) Under 37 C.F.R. 3.71;
3. Assignee Certification Under 37 C.F.R. 3.73(b);
4. PTO Form 1449;
5. Copies of Citations Listed on PTO Form 1449;

Page 1

6. Check in the amount of \$975 (\$910 filing fees and \$65 surcharge for the fees due as a small entity);
7. Transmittal of Substitute Formal Drawings;
8. Substitute Formal Drawings;
9. Assignment Cover Letter;
10. Assignment;
11. Check in the amount of \$40 (assignment recording fee).

The amount due for the filing fees and surcharge has been computed as follows:

CLAIMS AS FILED							
	Number filed		Number Extra		Rate		Basic Fee \$ 740.00
Total							
Claims 37 CFR 1.16(c)	80	- 20	=	60	X	\$18.00	= 1,080.00
Independent							
Claims (37 CFR 1.16(b))	3	- 3	=	0	X	\$84.00	=
Multiple dependent claim(s), if any (37 CFR 1.16(d))					+	\$280.00	=

Filing Fee Calculation \$ 1,820.00

Surcharge \$ 130.00

TOTAL FILING FEE \$ 1,950.00

Small Entity Statement(s)

X Applicant qualifies as a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$ 975.00

Amount already paid LESS (\$)

TOTAL FILING FEES DUE \$ 975.00

X Assignment recording fee \$ 40.00

— Petition fee \$ 0

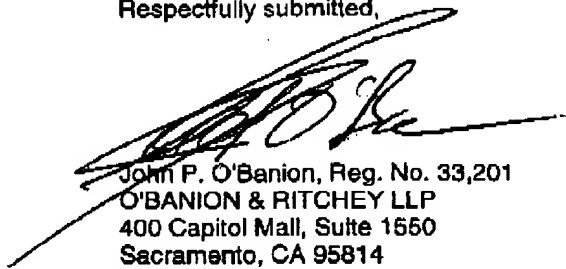
TOTAL FEES DUE \$ 1,015.00

Please charge any additional fees due to deposit account no. 07-1137.

Having now complied with all of the requirements of 37 C.F.R. 1.53, the Applicants respectfully request that this application be placed upon the files for examination.

Dated: November 14, 2001.

Respectfully submitted,



John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

TRANSMITTAL OF FORMAL DRAWINGSDocket No.
LBL-IB-1498-1In Re Application Of: **WENBING YUN ET AL.**Serial No.
09/927,428Filing Date
AUGUST 9, 2001

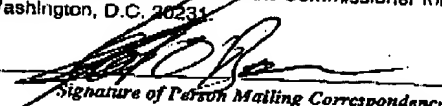
Batch No.

Examiner

Art Unit
1765Invention: **METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES**Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

Transmitted herewith are:

1 (one) sheets of formal drawing(s) for this application.

Each sheet of drawing indicates the identifying indicia suggested in 37 CFR Section 1.84(c)
on the reverse side of the drawing.JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010Dated: November 14, 2001I certify that this document and attached formal drawings
are being deposited on November 14, 2001 with the
U.S. Postal Service as first class mail under 37 C.F.R. 1.8
and addressed to the Assistant Commissioner for Patents,
Washington, D.C. 20231.
Signature of Person Mailing Correspondence

JOHN P. O'BANION

Typed or Printed Name of Person Mailing Correspondence

P23B/REV01

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)

Applicant(s): WENBING YUN ET AL.

Docket No.

LBL-IB-1498-1

Serial No.

09/927,428

Filing Date

AUGSUT 9, 2001

Examiner

Group Art Unit

176S

Invention: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES

I hereby certify that this Substitute Formal Drawings (Sheet 1)

(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 14, 2001

(Date)

JOHN P. O'BANION

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

Note: Each paper must have its own certificate of mailing.

P07A/REV05



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/927,428	08/09/2001	Wenbing Yun	LBL-IB-1498-1

CONFIRMATION NO. 6387

FORMALITIES LETTER



OC000000006564847

John P. O'Banion
O' BANION & RITCHEY LLP
Suite 1550
400 Capitol Mall
Sacramento, CA 95814

Date Mailed: 09/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

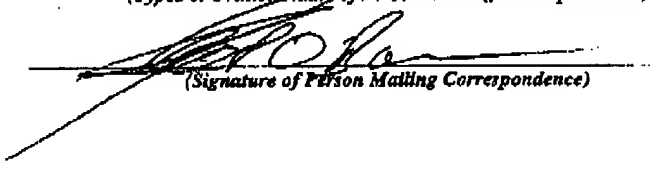
- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$540.
 - \$540 for 60 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 960.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)			Docket No. LBL-IB-1498-1
Applicant(s): WENBING YUN ET AL.			
Serial No. 09/927,428	Filing Date AUGUST 9, 2001	Examiner	Group Art Unit 1765
Invention: METHOD FOR NANOMACHINING HIGH ASPECT RATIO STRUCTURES			
<p>I hereby certify that this <u>Notice to file missing parts of nonprovisional application (Page 1)</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>November 14, 2001</u> (Date)</p> <p>JOHN P. O'BANION (Typed or Printed Name of Person Mailing Correspondence)</p> <p> (Signature of Person Mailing Correspondence)</p> <p>Note: Each paper must have its own certificate of mailing.</p>			

P07A/REV03